

SIFMA Compliance and Legal Society 2026 Annual Seminar

Presented by SIFMA

March 22–25, 2026

Financial Markets and Regulation Partner and Co-Chair Carl Kennedy will speak on "Effective Oversight in Capital Markets: Supervision and Surveillance" at 12:35 p.m. on Monday, March 23 during the SIFMA C&L Annual Seminar. Panelists will discuss topics including:

- Roles and responsibilities—1LoD vs. 2LoD
- Supervision – Adequacy of procedures, systems and controls to detect/prevent misconduct
- Surveillance and Data – Quality, Availability (including alternative data sources) and Usage
- New Market Surveillance Technologies: The role of advanced technologies like AI and machine learning in enhancing market surveillance and detecting fraudulent activities
- Supervisory responsibilities in extended hours trading

[Learn more about the SIFMA C&L Annual Seminar.](#)

CONTACTS

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